



Docket No. 4024-4044US2

Express Mail No. EV245489955US

↑ AFFIX CUSTOMER NO. LABEL ABOVE ↑

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY APPLICATION AND FEE TRANSMITTAL §(1.53(b))

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s) names and addresses:

**John Trezza**  
**12 White Oak Drive**  
**Nashua, New Hampshire 03063**

☐ Additional inventors are listed on a separate sheet

For: **INTEGRATED ARRAYS OF MODULATORS  
AND LASERS ON ELECTRONICS**

Enclosed Are:

14 page(s) of specification  
1 page(s) of Abstract  
3 page(s) of claims  
9 sheets of ☒ Formal Drawings, (FIGS. 1-4, 5A, 5B, 6, 7A-7D, 8 and 9)  
9 page(s) of Declaration and Power of Attorney

☐ Unsigned

☐ Newly Executed

☒ Copy from prior application Serial No. 10/180,610, filed June 26, 2002.

☐ Deletion of inventors including Signed Statement under 37 C.F.R. §1.63(d)(2)

☐ **REQUEST AND CERTIFICATION UNDER 35 U.S.C. §122(b)(2)(B)(i) (form PTO/SB/35)**

As indicated on the attached Request and Certification, Applicant(s) certify that the invention disclosed in the attached application HAS NOT and WILL NOT be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. Applicant(s) therefore request(s) that the attached application NOT be published under 35 U.S.C. §122(b).

☒ **Incorporation by Reference:**

☒ **The entire disclosures of the prior application, from which copies of the combined Declaration and Power of Attorneys are supplied herein, are considered as being part of the disclosure of the accompanying application and are incorporated herein by reference.**

☐ **Deletion of Inventors (37 C.F.R. §1.63(d) and §1.33(b))**

Signed statement attached deleting inventor(s) named in the prior application serial no. \_\_\_\_\_, filed \_\_\_\_\_.

☐ **Microfiche Computer Program (Appendix)**

- ☐ page(s) of Sequence Listing
- ☐ computer readable disk containing Sequence Listing
- ☐ Statement under 37 C.F.R. §1.821(f) that computer and paper copies of the Sequence Listing are the same

☒ **Assignment Papers (assignment cover sheet and assignment documents)**

- ☐ A check in the amount of \$40.00 for recording the Assignment
- ☐ Charge the Assignment Recordation Fee to Deposit Account No. 13-4500, Order No. \_\_\_\_\_.

☒ **Assignment Papers filed in the parent application serial no. 10/180,610.**

☐ **Certification of chain of title pursuant to 37 C.F.R. §3.73(b)**

☐ **Priority is claimed under 35 U.S.C. §119 for:**  
Application No(s). \_\_\_\_\_, filed \_\_\_\_\_, in \_\_\_\_\_ (country).

- ☐ **Certified Copy of Priority Document(s) [\_\_\_\_\_]**
  - ☐ filed herewith
  - ☐ filed in application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

- ☐ **English translation document(s) [\_\_\_\_\_]**
  - ☐ filed herewith
  - ☐ filed in application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.

☐ **Priority is claimed under 35 U.S.C. §119(e) for:**  
Provisional Application No. \_\_\_\_\_, filed \_\_\_\_\_.

☒ **Information Disclosure Statement**

☐ Copy of [\_\_\_\_\_] cited references

☒ **PTO Form-1449 citing references previously cited by or submitted to the Patent and Trademark Office in parent application serial no. 10/180,610, filed June 26, 2002 to which the present application claims the benefit of priority under 35 U.S.C. §120.**

☐ **Related Case Statement under 37 C.F.R. §1.98(a)(2)(iii)**

☐ A copy of related pending U.S. Application(s) Serial No(s): \_\_\_\_\_, filed \_\_\_\_\_, respectively, is attached hereto.

☐ A copy of related pending U.S. Application(s) entitled, \_\_\_\_\_, filed \_\_\_\_\_ to inventor(s) \_\_\_\_\_, respectively, is attached hereto.

☐ A copy of each related application(s) was submitted in parent application serial no. \_\_\_\_\_, filed \_\_\_\_\_.

☒ **Preliminary Amendment.**

☒ **Return receipt postcard (MPEP 503)**

☒ This is a ☒ continuation ☐ divisional ☐ continuation-in-part of prior application serial no. 10/180,610, filed 06/26/2002, which is a continuation-in-part of applications serial nos. 09/897,160, 09/896,983, 09/897,158, 09/896,665, all filed 6/29/2001 to which priority under 35 U.S.C. §120 is claimed.

☒ **Cancel claims 1-18 of this application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)**

☒ **A Preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application 10/180,610).**

☒ **The status of the parent applications are as follows:**

☐ A Petition for Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until \_\_\_\_\_.

☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.

☒ **No Petition for Extension of Time and Fee therefor are necessary in the co-pending parent application.**

☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.

☐ Transfer the drawing(s) from the parent application to this application.

- ☒ Amend the specification by inserting before the first line the sentence:  
This is ☒ continuation ☐ divisional ☐ continuation-in-part of co-pending  
application Serial No. 10/180,610, filed June 26, 2002.

| I. CALCULATION OF APPLICATION FEE                  |              |   |                  |                              |
|--|--------------|---|------------------|------------------------------|
|  | Number Filed | Number Extra                              | Rate             | Basic Fee<br>\$750.00/375.00 |
| Total Claims                                       | 5- 20 =      | 0x  | \$18.00/ \$9.00  | \$ 0                         |
| Independent Claims                                 | 1- 3 =       | 0x  | \$84.00/ \$42.00 | \$ 0                         |
| <input type="checkbox"/> Multiple Dependent Claims |              | If marked, add fee of \$280.00 (\$140.00) |                  | \$                           |
| TOTAL:   |              |   |                  | \$ 750.00                    |

- ☐ Small entity status is or has been claimed. Reduced fees under 37 C.F.R. §1.9 (f) paid herewith \$\_\_\_\_\_.
- ☒ A check in the amount of \$750.00 in payment of the application filing fees is attached.
- ☐ Charge fee to Deposit Account No. 13-4500, Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application pursuant to 37 CFR §1.16, including all extension of time fees pursuant to 37 C.F.R. § 1.17 for maintaining copendency with the parent application, or credit any overpayment to Deposit Account No. 13-4500, Order No. 4024-4044US2. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: September 30, 2003

By: 

Richard Straussman  
Registration No. 39,847

Correspondence Address:  
MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicant(s):** John Trezza

**Group Art** To Be Assigned

**Serial No.:** To Be Assigned

**Examiner:** To Be Assigned

**Filed:** September 30, 2003

**For:** INTEGRATED ARRAYS OF MODULATORS AND LASERS ON ELECTRONICS

**EXPRESS MAIL CERTIFICATE**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**Express Mail Label No.: EV245489955US**

**Date of Deposit: September 30, 2003**

I hereby certify that the following attached paper(s) and/or fee

1. Utility Application and informal drawings as filed in parent application including Specification (14 pages), claims (3 pages), abstract (1 page) and Informal Drawings (9 sheets - FIGS. 1-4, 5A, 5B, 6, 7A-7D, 8 and 9);
2. Application Fee Transmittal (in duplicate);
3. 9 sheets of Formal Drawings (FIGS. 1-4, 5A, 5B, 6, 7A-7D, 8 and 9);
4. **copy** of Declaration And Power Of Attorney From Parent Application;
5. Preliminary Amendment;
6. Information Disclosure Statement;
7. PTO Form 1449;
8. Check in the amount of \$750.00; and
9. Return postcard.

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**ALBERT ISLES**

(Typed or printed name of person mailing papers(s) and/or fee)

(Signature of person mailing paper(s) and/or fee)

**Correspondence Address:**

MORGAN & FINNEGAN, L.L.P.  
345 Park Avenue  
New York, NY 10154-0053  
(212) 758-4800 Telephone  
(212) 751-6849 Facsimile